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Subsidiary Body for Implementation
Fortieth session
Bonn, 4–15 June 2014

Agenda item 20
Report on the session

Draft report of the Subsidiary Body for Implementation on its fortieth session

Rapporteur: Ms. Mabafokeng F. Mahahabisa (Lesotho)

CONTENTS

(To be completed)

I. Opening of the session
(Agenda item 1)

1. The fortieth session of the Subsidiary Body for Implementation (SBI) was held at the Maritim Hotel in Bonn, Germany, from 4 to 15 June 2014.

2. The Chair of the SBI, Mr. Amena Yauvoli (Fiji), opened the session on Wednesday, 4 June, and welcomed all Parties and observers. He also welcomed Mr. Ilhomjon Rajabov (Tajikistan) as Vice-Chair of the SBI and Ms. Mabafokeng F. Mahahabisa (Lesotho) as Rapporteur.

II. Organizational matters
(Agenda item 2)

Adoption of the agenda
(Agenda item 2(a))

3. At its 1st meeting, on 4 June, the SBI considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/SBI/2014/1).

4. At the same meeting, the agenda was adopted as follows, with sub-item 4(a) held in abeyance:

1. Opening of the session.
2. Organizational matters:

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(a) Adoption of the agenda;

(b) Organization of the work of the session.

3. Reporting and review of Parties included in Annex I to the Convention:

(a) Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention;

(b) Revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications";

(c) Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period.

4. Reporting from Parties not included in Annex I to the Convention:

(a) Information contained in national communications from Parties not included in Annex I to the Convention;[1]

(b) Provision of financial and technical support.

5. Work programme to further the understanding of the diversity of nationally appropriate mitigation actions.

6. Matters relating to the mechanisms under the Kyoto Protocol:

(a) Review of the modalities and procedures for the clean development mechanism;

(b) Review of the joint implementation guidelines;

(c) Synergy relating to accreditation under the mechanisms of the Kyoto Protocol;

(d) Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units;

(e) Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism;

(f) Matters relating to the international transaction log under the Kyoto Protocol.

7. Matters relating to the least developed countries.

8. National adaptation plans.

9. Warsaw international mechanism for loss and damage associated with climate change impacts.

10. Second review of the Adaptation Fund.

11. Development and transfer of technologies and implementation of the Technology Mechanism:

[1] At SBI 39 there was no consensus to include this item on the agenda. It was therefore held in abeyance. On a proposal by the Chair, the SBI decided to include this item on the provisional agenda for SBI 40.

(a) Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013;

(b) Poznan strategic programme on technology transfer.

12. Capacity-building:

(a) Capacity-building under the Convention;

(b) Capacity-building under the Kyoto Protocol.

13. Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties.

14. Article 6 of the Convention.

15. Impact of the implementation of response measures:

(a) Forum and work programme;

(b) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol;

(c) Progress on the implementation of decision 1/CP.10.

16. The 2013–2015 review.

17. Arrangements for intergovernmental meetings.

18. Administrative, financial and institutional matters:

(a) Financial matters;

(b) Continuing review of the functions and operations of the secretariat;

(c) Implementation of the Headquarters Agreement;

(d) Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol;

(e) Privileges and immunities for individuals serving on constituted bodies established under the Convention.

19. Other matters.

20. Report on the session.

III. Reports on agenda items 2(b) to 19

(To be completed)

IV. Report on the session

(Agenda item 20)

5. At its xx meeting, on xx June, the SBI considered the draft report on its fortieth session (FCCC/SBI/2014/L.X). At the same meeting, on a proposal by the Chair, the SBI authorized the Rapporteur to complete the report on the session, with the assistance of the secretariat and under the guidance of the Chair.

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Agenda item 6(f)
Matters relating to the mechanisms under the Kyoto Protocol
Matters relating to the international transaction log under the Kyoto Protocol

Matters relating to the administrator of the international transaction log under the Kyoto Protocol

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) continued its consideration of information security management in systems supporting emissions trading under the Kyoto Protocol. It welcomed the document prepared by the international transaction log (ITL) administrator and the Security Working Group under the Registry System Administrators Forum[1] and took note of the options for, and road map to, information security implementation in the registry system.

2. The SBI requested the ITL administrator and the Security Working Group to execute the further implementation option[2] by extending the current information security control implementation on the basis of a registry-specific and quantitative risk assessment, followed by an in-depth control implementation analysis. It also requested the ITL administrator and the Security Working Group to prepare a document containing a final implementation option for information security management, including the related resource requirements for registry systems and budget requirements for the ITL, for consideration at SBI 42 (June 2015).

3. The SBI agreed to consider the final implementation option referred to in paragraph 2 above at SBI 42, with a view to recommending a draft decision on the matter for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session (November–December 2015).

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[1] FCCC/SBI/2014/INF.6.
[2] See document FCCC/SBI/2014/INF.6, paragraphs 30–32.

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Agenda item 7
Matters relating to the least developed countries

Matters relating to the least developed countries

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) took note of the oral report by the Chair of the Least Developed Countries Expert Group (LEG)[1] on the implementation of the LEG work programme for 2013–2014 and acknowledged the progress made by the LEG thereunder.

2. It welcomed the report on the 25th meeting of the LEG,[2] held in Dar es Salaam, United Republic of Tanzania, on 27 and 28 February 2014, and the outcome of the LEG technical meeting on national adaptation plans (NAPs) held in Dar es Salaam from 24 to 26 February 2014.

3. The SBI expressed its gratitude to the Government of the United Republic of Tanzania for hosting these meetings. It expressed its appreciation to the Governments of Belgium, Canada, Finland and Norway for providing financial support for the work of the LEG.

4. The SBI noted with appreciation the contributions made by some Parties to the Least Developed Countries Fund (LDCF), totalling USD 831.54 million as at 28 February 2014,[3] and encouraged other Parties to also contribute.

5. The SBI welcomed the submission of proposals for the funding of the implementation of national adaptation programme of action (NAPA) projects to the LDCF. It noted with appreciation that as at 20 April 2014, 48 countries had accessed USD 817.25 million for 150 projects to implement NAPAs.

6. The SBI also welcomed the approval of resources totalling USD 6.73 million for the National Adaptation Plan Global Support Programme for the least developed countries

[1] The report is available at <unfccc.int/7504>.
[2] FCCC/SBI/2014/4.
[3] See Global Environment Facility report GEF/LDCF.SCCF.16/04; available at <http://www.thegef.org/gef/node/10491>.

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(LDCs)[4] and for a project to build the capacity of LDCs to participate effectively in the intergovernmental climate change process under the LDC work programme.[5]

7. The SBI noted the importance of continuing to support the full implementation of NAPAs to address urgent and immediate adaptation needs and to build capacity for medium- and long-term adaptation planning and implementation.

8. The SBI expressed its satisfaction with the work of the LEG and the support provided to the LEG by the secretariat. It welcomed the LEG work programme for 2014–2015,[6] and encouraged the LEG to maintain flexibility in the management of its work programme, taking into account available resources.

9. The SBI recognized the importance of the LEG regional training workshops[7] on building capacity, facilitating peer-to-peer learning and promoting South–South cooperation.

10. The SBI welcomed the materials being prepared as supplements to the LEG Technical Guidelines for the NAP process[8] by relevant organizations and stressed the importance of their alignment with these guidelines.

11. The SBI welcomed the engagement and collaboration of the LEG with other constituted bodies and programmes under the Convention, in particular the Adaptation Committee, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, the Technology Executive Committee, the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts and the Nairobi work programme on impacts, vulnerability and adaptation to climate change, and its constructive collaboration with a wide range of organizations. It requested the LEG to expand these efforts.

12. The SBI requested that actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

13. The SBI invited Parties in a position to do so to continue to provide support for the implementation of the LEG work programme.

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[4] More information on this programme can be found at <http://www.undp-alm.org/projects/naps-ldcs>.

[5] As footnote 3 above.

[6] FCCC/SBI/2014/4, annex I.

[7] Information on the workshops is available at <unfccc.int/6101>

[8] National Adaptation Plans. Technical Guidelines for the National Adaptation Plan Process. Available at <http://unfccc.int/essential_background/library/items/3599.php?such=j&symbol=FCCC/GEN/288%20E#beg>.

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Agenda item 6(c)
Matters relating to the mechanisms under the Kyoto Protocol
Synergy relating to accreditation under the mechanisms of the Kyoto Protocol

Synergy relating to accreditation under the mechanisms of the Kyoto Protocol

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) initiated its consideration of synergy relating to accreditation under the mechanisms established under Articles 6 and 12 of the Kyoto Protocol.

2. The SBI took note of the recommendation of the Joint Implementation Supervisory Committee on the accreditation system for joint implementation aligned with that of the clean development mechanism.

3. The SBI recommended a draft decision on this matter for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its tenth session (for the text of the draft decision, see document FCCC/SBI/2014/L.4/Add.1).

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Agenda item 6(c)
Matters relating to the mechanisms under the Kyoto Protocol
Synergy relating to accreditation under the mechanisms of the Kyoto Protocol

Synergy relating to accreditation under the mechanisms of the Kyoto Protocol

Draft conclusions proposed by the Chair

Addendum

Recommendation of the Subsidiary Body for Implementation

The Subsidiary Body for Implementation, at its fortieth session, recommended the following draft decision for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its tenth session:

Draft decision -/CMP.10

Synergy relating to accreditation under the mechanisms of the Kyoto Protocol

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Recalling decision 6/CMP.8, paragraph 15(b),

1. *Requests* the Executive Board of the clean development mechanism and the Joint Implementation Supervisory Committee to collaborate in considering the establishment of a joint accreditation committee under their authority and supervision and in the operation of accreditation, within the mandates established by decisions 3/CMP.1 and 9/CMP.1 [, x/CMP.10 and x/CMP.10] and other relevant decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol related to accreditation;

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2. *Requests* the Executive Board of the clean development mechanism and the Joint Implementation Supervisory Committee to jointly develop and apply, as appropriate:

(a) Terms of reference of the joint accreditation committee, including its membership and roles and responsibilities, and jointly revise such terms of reference at appropriate times;

(b) A single regulatory framework for accreditation under the clean development mechanism and joint implementation, including specific provisions to determine compliance with requirements for a designated operational entity under the clean development mechanism and for an accredited independent entity under joint implementation;

3. *Further requests* the Executive Board of the clean development mechanism and the Joint Implementation Supervisory Committee to report on the progress of the actions referred to in paragraphs 1 and 2 above to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session (November–December 2015).

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Agenda item 6(e)
Matters relating to the mechanisms under the Kyoto Protocol
Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism

Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) continued its discussion of the issue of procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism. Parties continued to maintain different views on the scope of appeals, among other issues.

2. The SBI agreed to continue its consideration of this matter on the basis of, inter alia, the co-facilitators' draft text contained in document FCCC/SBI/2012/33/Add.1, with a view to preparing a draft decision for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its tenth session.

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Subsidiary Body for Implementation
Fortieth session
Bonn, 4–15 June 2014

Agenda item 18(d)
Administrative, financial and institutional matters
Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol

Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) took note of the views of Parties on privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol.

2. The SBI agreed to continue its consideration of this matter at SBI 44 (May 2016) on the basis of the draft treaty arrangements on privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol.[1]

[1] FCCC/SBI/2012/15/Add.2, page 45.

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Agenda item 18(e)
Administrative, financial and institutional matters
Privileges and immunities for individuals serving on constituted bodies established under the Convention

Privileges and immunities for individuals serving on constituted bodies established under the Convention

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) took note of the views of Parties on privileges and immunities for individuals serving on constituted bodies established under the Convention. It also took note of the draft treaty arrangements on privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol.[1]

2. The SBI agreed to continue its consideration of privileges and immunities for individuals serving on constituted bodies established under the Convention at SBI 44 (May 2016).

[1] FCCC/SBI/2012/15/Add.2, page 45.

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Agenda item 4(b)
Reporting from Parties not included in Annex I to the Convention
Provision of financial and technical support

Provision of financial and technical support

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) took note of the information provided by the secretariat of the Global Environment Facility (GEF) on the financial support provided by the GEF for the preparation of biennial update reports (BURs) by Parties not included in Annex I to the Convention (non-Annex I Parties).[1] The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, approval of funding and disbursement of funds, as well as the amount of funding disbursed to non-Annex I Parties for the preparation of BURs, and the amount of funding provided for the preparation of national communications during the same period, for consideration at SBI 41 (December 2014).

2. The SBI noted that as at 4 June 2014 the GEF secretariat had received 36 requests for support to prepare BURs. Recalling decision 2/CP.17, paragraph 41(d), the SBI urged the non-Annex I Parties that have yet to submit, as applicable, their requests to the GEF for support for the preparation of their first BURs to do so in a timely manner. In addition, it encouraged the GEF implementing agencies to continue facilitating the preparation and submission of project proposals by non-Annex I Parties for the preparation of their BURs.

3. The SBI invited the GEF to provide, in its report to the Conference of the Parties (COP) at its twentieth session, detailed information on the funding available under its latest replenishment to non-Annex I Parties for the preparation of national communications and BURs, and the total amount of funding available in its climate change focal area.

4. The SBI recommended that COP 20 request the GEF to continue to work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which non-Annex I Parties receive funding to meet their obligations under Article 12, paragraph 1, of the Convention.

[1] FCCC/SBI/2014/INF.7.

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5. The SBI, recalling decision 9/CP.18, reiterated its encouragement[2] of the GEF to make support available to non-Annex I Parties for preparing their subsequent BURs in a timely manner, taking fully into account decision 2/CP.17, paragraph 41(a) and (e).

6. The SBI noted the announcement made by the representative of the GEF on the successful completion, at a record level, of the sixth replenishment of the GEF and the upcoming operationalization of its Global Support Programme for the preparation of national communications and BURs by non-Annex I Parties (a five-year project administered jointly by the United Nations Development Programme and the United Nations Environment Programme, with the objective of enhancing the support provided to non-Annex I Parties for the preparation of their national communications and BURs).

7. The SBI welcomed the efforts made by the secretariat to release updated versions of the national greenhouse gas (GHG) inventory software for non-Annex I Parties in 2013[3] and encouraged non-Annex I Parties to use the software for the development of their national GHG inventories. It acknowledged the usefulness of the updated software and requested the secretariat to make it available to non-Annex I Parties in other United Nations languages by June 2015.

8. The SBI also welcomed the efforts made by the secretariat to provide relevant training to national experts from all non-Annex I Parties with a view to facilitating the efficient use of the software. The SBI thanked the Governments of the Philippines, Gabon and Colombia for having hosted the regional hands-on training workshops on the use of the software that were organized by the secretariat. It also requested the secretariat to report, at SBI 41, on the regional hands-on training workshops on the use of the software that it organized in 2013–2014.

9. The SBI took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 7 above.

10. It requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

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[2] FCCC/SBI/2013/20, paragraph 36.

[3] Available at <http://unfccc.int/7627.php>.

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Agenda item 6(d)
Matters relating to the mechanisms under the Kyoto Protocol
Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units

Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) continued its consideration of modalities for expediting the continued issuance, transfer and acquisition of joint implementation (JI) emission reduction units (ERUs), in accordance with decision 1/CMP.8, paragraph 16.

2. The SBI agreed to continue its consideration of this matter at SBI 41 (December 2014) on the basis of the draft decision text proposed by the co-chairs of the informal consultations on this agenda sub-item and contained in the annex.

3. To further inform this consideration, the SBI requested the secretariat to prepare a technical paper, for consideration at SBI 41, on any technical implications for the processes and systems under the Kyoto Protocol, including but not limited to reporting and review requirements under the Kyoto Protocol and the functions of the international transaction log, arising from the modalities referred to in the draft text contained in the annex.

4. The technical paper referred to in paragraph 3 above shall also contain information on budgetary implications, the current status of ratification or provisional application of the Doha Amendment and the status of the JI projects. The information on JI projects shall include, but shall not be limited to, an update on letters of approval and their validity for the respective commitment periods, the number of projects, annual and total ERUs issued to date, the annual and total ERU generation potential, and the remaining crediting periods of JI projects in the pipeline for Parties with quantified emission limitation and reduction commitments in the second commitment period, noting any difficulties in accessing information due to the absence of designated focal points in some Parties.

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Annex

[English only]

Draft decision -/CMP.10

[*The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol*,

Recalling the provisions of Articles 3 and 6 of the Kyoto Protocol and decision 1/CMP.6,

Also recalling decision 1/CMP.8, paragraph 16,

Cognizant of decisions 9/CMP.1, 11/CMP.1 and 13/CMP.1,

1. *Decides* that, pending the establishment of its assigned amount pursuant to Article 3, paragraphs 7 bis, 8 and 8 bis, in the Doha Amendment, as contained in Annex I to decision 1/CMP.8, a Party, referred to in decision 1/CMP.8, paragraph 15(a), that has deposited its instrument of acceptance of the Doha Amendment in accordance with Article 21, paragraph 7, and Article 20, paragraph 4, of the Kyoto Protocol, and whose eligibility is not suspended in accordance with decision 27/CMP.1, Annex, Section XV, may undertake an advanced issuance of assigned amount units for the second commitment period, up to a maximum amount equivalent to [1] per cent of its assigned amount established for the first commitment period.

2. *Also decides* that the assigned amount of a Party, established pursuant to Article 3, paragraphs 7 bis, 8 and 8 bis, shall be issued net of any advanced issuance referred to in paragraph 1 above for that Party.

3. *Further decides* that, until the establishment of its assigned amount for the second commitment period pursuant to Article 3, paragraphs 7 bis, 8 and 8 bis, any assigned amount units issued by a Party in accordance with paragraph 1 above shall be solely used for the purpose of conversion into emission reduction units valid for the second commitment period.]

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Agenda item 18(c)
Administrative, financial and institutional matters
Implementation of the Headquarters Agreement

Implementation of the Headquarters Agreement

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) took note of the information provided by the representative of the Host Government of the secretariat that the City of Bonn has incorporated the latest United Nations requirements into the final plans for the new conference centre facilities and expects to complete construction by early 2015, in time for the forty-second sessions of the subsidiary bodies. The SBI noted that the existing conference centre facilities are already being used to the satisfaction of participants and the secretariat; for example, sessions of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) were held there in 2013 and 2014.

2. The SBI also noted the information in the reports of the representative of the Host Government and the Executive Secretary that over half of the secretariat staff moved into new office premises on the United Nations Campus in September 2013, and that the design of an extension building on the United Nations Campus to accommodate the remaining staff is making good progress, with completion scheduled for 2018.

3. The SBI thanked the Host Government for the progress reports and acknowledged the special efforts and investments made by both the Host Government and the host city of Bonn, including, for example, the special contribution by the Host Government of EUR 1 million to the ADP process. It encouraged the Host Government to continue to provide support for the establishment and operation of the conference centre as a permanent forum for the intergovernmental process at the seat of the secretariat.

4. The SBI welcomed the encouraging developments regarding the conference centre. In accordance with decisions 27/CP.19 and 25/CP.18, it requested the secretariat to maximize the combined use of the new office and conference facilities for UNFCCC sessions and meetings in order to reduce costs and further enhance the services available at the seat of the secretariat.

5. The SBI welcomed the establishment of systematic collaboration between the Host Government, the secretariat and other relevant stakeholders on issues such as office and meeting facilities and information and services for meeting participants, and encouraged the

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Host Government and the secretariat to maintain this process of close and regular consultations.

6. The SBI requested the secretariat to continue to update Parties on the UNFCCC website about these and other aspects of the implementation of the Headquarters Agreement, and invited the Host Government and the Executive Secretary to report to SBI 42 on further progress made.

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Agenda item 6(b)
Matters relating to the mechanisms under the Kyoto Protocol
Review of the joint implementation guidelines

Review of the joint implementation guidelines

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) continued its consideration of the review of the guidelines for the implementation of Article 6 of the Kyoto Protocol[1] (joint implementation guidelines), with a view to recommending a draft decision on the matter for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its tenth session (December 2014), in accordance with decision 6/CMP.8, paragraphs 14–16.

2. The SBI agreed to continue its consideration of this matter at SBI 41 (December 2014) on the basis of the draft decision text proposed by the co-chairs of the informal consultations on this agenda sub-item and contained in the annex.

[1] Annex to decision 9/CMP.1.

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Annex

[English only]

Draft decision -/CMP.10

[The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Recalling the provisions of Articles 3 and 6 of the Kyoto Protocol and decisions 1/CMP.6,

Cognizant of decisions 2/CMP.1, 9/CMP.1, 10/CMP.1, 2/CMP.2, 3/CMP.2, 3/CMP.3, 5/CMP.4, 3/CMP.5, 4/CMP.6, 11/CMP.7 and 6/CMP.8,

1. *Takes note* of with appreciation the recommendations from the Joint Implementation Supervisory Committee regarding the review of the guidelines for the implementation of Article 6 contained in decision 9/CMP.1;

2. *Also takes note* of with appreciation the submissions by Parties, intergovernmental organizations and admitted observer organisations on possible ways in which decision 9/CMP.1 and other decisions of the Conference of the Parties serving as the meeting of the Parties should be revised, as well as the compilation report prepared by the secretariat summarizing these submissions;

3. *Decides* to adopt the modalities and procedures for the implementation of Article 6 of the Kyoto Protocol "Joint Implementation" (hereinafter referred to as the joint implementation modalities and procedures) contained in the annex;

4. *Also decides* that decisions of the Conference of the Parties serving as the meeting of the Parties relating to joint implementation, but excluding the annex to decision 9/CMP.1, shall apply mutatis mutandis to joint implementation under the joint implementation modalities and procedures, where those decisions are still applicable;

5. *Requests* the Joint Implementation Supervisory Committee, Parties included in Annex I and the secretariat to take the necessary measures to facilitate the implementation of this decision;

6. *Also requests* the Joint Implementation Supervisory Committee to make recommendations to the Conference of the Parties serving as the meeting of the Parties at its tenth session (December 2014) on necessary changes to:

(a) The rules of procedure as adopted by decision 2/CMP.2;

(b) Other decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol;

7. *Decides* that the joint implementation modalities and procedures shall become effective on [1 January 2015] (effective date);

8. *Also decides* that joint implementation projects that have, by the date of adoption of this decision, been deemed final in accordance with decision 9/CMP.1, annex, paragraph 35, or established in accordance with paragraph 23 of that annex, may select either:

(a) To be deemed registered under the joint implementation modalities and procedures from [1 January 2015]; or

(b) To continue to operate under decision 9/CMP.1;

9. *Further decides* that after [1 January 2015] the joint implementation modalities and procedures shall apply to all projects other than those referred to in paragraph 8 above;

10. *Decides* that the Joint Implementation Supervisory Committee shall continue to apply decision 9/CMP.1 to projects selecting to continue operation under decision 9/CMP.1 in accordance with paragraph 8(b) above;

11. *Also decides* that accredited independent entities shall be deemed accredited under the joint implementation modalities and procedures from [1 January 2015];

12. *Further decides* that, after the effective date, all accreditation and reaccreditation shall be under the joint implementation modalities and procedures;

13. *Decides* that the joint implementation modalities and procedures shall apply to all accredited independent entities by no later than 24 months after the effective date;

14. *Also decides* that the transition to the new membership rules for the Joint Implementation Supervisory Committee shall be managed in accordance with the following rules:

(a) Members and alternate members elected in accordance with the annex to decision 9/CMP.1 at the Conference of the Parties serving as the meeting of the Parties at its ninth session shall, notwithstanding decision 9/CMP.1, annex, paragraph 5, serve a term until immediately before the first Joint Implementation Supervisory Committee meeting of 2015;

(b) Members elected at the Conference of the Parties serving as the meeting of the Parties at its tenth session shall be elected in accordance with the rules set out in the annex.]

Appendix

Modalities and procedures for the implementation of Article 6 of the Kyoto Protocol "Joint Implementation"

I. Definitions

1. For the purpose of the modalities and procedures for joint implementation contained in this document, the definitions contained in the Kyoto Protocol shall apply.

2. An "emission reduction unit" (ERU) is a unit issued pursuant to Article 6 of the Kyoto Protocol and requirements under the Kyoto Protocol, including the relevant provisions of these modalities and procedures as amended or replaced from time to time, and is equal to one metric tonne of carbon dioxide equivalent, calculated using global warming potentials defined by decision 2/CP.3 or as subsequently revised in accordance with Article 5.

3. "Joint implementation" (JI) refers to the mechanism defined in Article 6 of the Kyoto Protocol.

4. A "joint implementation activity" (JI activity) is an activity pursuant to Article 6 of the Kyoto Protocol that reduces anthropogenic emissions of greenhouse gases (GHGs) by sources or enhances anthropogenic removals of GHGs by sinks.

II. Role of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

5. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) shall exercise authority over, and provide guidance to, the Joint Implementation Supervisory Committee (hereinafter referred to as JISC).

III. Joint Implementation Supervisory Committee

A. Functions

6. The JISC shall supervise JI, under the authority and guidance of the CMP, to which it shall be accountable.

7. The JISC shall elaborate its rules of procedure for consideration by the CMP and subsequently recommending to the CMP any revisions to such rules.

8. The JISC shall also set minimum technical requirements for JI activities, after collaboration with host Parties, stakeholders and, as appropriate, the Executive Board of the clean development mechanism, that ensure the additionality of emission reductions and quality assurance, quality control and consistency of their measurement.

9. The technical requirements referred to in paragraph 8 above shall provide criteria for the demonstration of additionality, through ensuring prior consideration of JI for proposed JI activities, the use of positive lists, performance benchmarks and financial return benchmarks, and the objective demonstration of barriers ensuring that positive lists are applied only in areas where there is low risk of non-additonality.

10. The technical requirements referred to in paragraph 8 above shall also provide objective criteria for the establishment of baselines, including standardized baselines, that reasonably represent the anthropogenic emissions by sources or anthropogenic removals by sinks that would occur in the absence of the proposed JI activity, which:

(a) Ensure that the baseline is lower than the relevant current emission levels;

(b) Shall be established on a project-specific, programmatic or sectoral basis;

(c) Ensure transparency with regard to the choice of approaches, assumptions, methodologies, parameters, data sources and key factors;

(d) Fully account for relevant existing national and/or sectoral policies, plans and circumstances, such as sectoral reform initiatives, local fuel availability, power sector expansion plans and the economic situation in the sector of the activity sector;

(e) Ensure that ERUs cannot be issued for decreases in activity levels outside of the JI activity or due to force majeure;

(f) Take uncertainties into account and use conservative assumptions, inter alia, by using benchmarking concepts.

11. The technical requirements referred to in paragraph 8 above shall also:

(a) Define the criteria for the inclusion of potential emission sources within a project boundary and the requirements for the accuracy of their monitoring and reporting;

(b) [Allow for net atmospheric benefits, inter alia through the cancellation of ERUs on a voluntary basis] [Ensure net atmospheric benefits, through an automatic [10] per cent share cancelled for the benefit of the environment] [Provide for [net atmospheric benefits], [inter alia] through [reduced issuance of ERUs or] cancellation of ERUs [on a voluntary basis], and assist the host Party in achieving its QELRC for the purpose of meeting its commitment under Article 3 of the Kyoto Protocol through reduced issuance of ERUs].

12. The JISC shall further set minimum requirements to facilitate the development of project cycle procedures by host Parties which ensure provisions in relation to the transparency of decision-making processes, local stakeholder consultation and rights for directly affected entities to hearings prior to decision-making, timely decisions and appeals of decisions.

13. The JISC shall also be responsible for, inter alia, the following:

(a) Facilitating the sharing and dissemination of recommendations and best practices for the operationalization of JI among Parties in a collaborative manner;

(b) Accrediting independent entities;

(c) Providing oversight in the issuance of ERUs by host Parties;

(d) Establishing procedures for the collection of fees to cover the administrative costs of the JISC and its support structure;

(e) [Assessing the conformity of implementation of JI by host Parties with these modalities and procedures and the minimum requirements and procedures referred to in paragraph 8 above through initial assessments of implementation by Parties followed by regular assessments to monitor ongoing implementation;]

(f) Undertaking reviews of selected JI activities as set out in paragraph 48 and 55 below and, where appropriate, [withholding the process of issuance of ERUs];

(g) Promoting awareness of JI;

(h) Reporting on its activities to each session of the CMP;

(i) Performing any other functions assigned to it by the CMP.

B. Membership

[Option 1:

14. The JISC shall comprise 10 members from Parties to the Kyoto Protocol, as follows:

(a) Three members from Parties included in Annex I that are undergoing the process of transition to a market economy;

(b) Three members from Parties included in Annex I not referred to in subparagraph (a) above;

(c) Three members from Parties not included in Annex I;

(d) One member from the small island developing States.

15. Members shall be nominated by the relevant constituencies referred to in paragraph 14 above and be elected by the CMP. The CMP shall also elect an alternate member for each member of the JISC based on the criteria in paragraph 14 above. The nomination by a constituency of a candidate member shall be accompanied by a nomination of a candidate alternate member from the same constituency.

15bis. For the first year of operation of the JISC, the CMP shall elect to the JISC five members and five alternate members for a term of two years and five members and five alternate members for a term of one year. Members and alternate members for the initial one-year term shall be selected proportionately from the four groups referred to in paragraph 14 above. Thereafter, the CMP shall elect every year, five new members and five new alternate members for a term of two years. Members and alternate members shall remain in office until their successors have been elected.]

[Option 2:

14. The JISC shall comprise 20 members from Parties to the Kyoto Protocol, as follows:

(a) Six members from Parties included in Annex I that are undergoing the process of transition to a market economy;

(b) Six members from Parties included in Annex I not referred to in subparagraph (a) above;

(c) Six members from Parties not included in Annex I;

(d) Two members from small island developing States.

15. Members shall be nominated by the relevant constituencies referred to in paragraph 14 above and be elected by the CMP. For the first year of operation of the JISC, the CMP shall elect to the JISC 10 members for a term of two years and 10 members for a term of one year. Members for the initial one-year term shall be selected proportionately from the four groups referred to in paragraph 14 above. Thereafter, the CMP shall elect every year 10 new members for a term of two years. Members shall remain in office until their successors have been elected.]

16. Members shall be eligible to serve a maximum of three consecutive terms.

17. The JISC shall elect a chair and vice-chair annually from among its members.

18. The JISC shall meet at least twice each year.

19. Each member shall:

(a) Serve in his or her personal capacity;

(b) Have experience and competence in developing policy and strategy within regulatory processes, including in the development or implementation of GHG market mechanisms, and shall possess an understanding of business perspectives regarding investment in the environmental field;

(c) Refrain from participating in the consideration of and decision-making on subjects in relation to which he or she has a real or perceived conflict of interest, including in relation to specific host Parties or JI activities;

(d) Subject to his or her responsibility to the JISC, not disclose any confidential or proprietary information coming to his or her knowledge by reason of his or her duties for the JISC, either during or after his or her term of office on the JISC;

(e) Be bound by the rules of procedure of the JISC;

(f) Take a written oath of service witnessed by the UNFCCC Executive Secretary or his or her authorized representative before the member assumes his or her duties.

20. The JISC may suspend and recommend to the CMP the termination of the membership of a member on certain grounds, including, inter alia, a breach of conflict of interest provisions, a breach of confidentiality provisions or a failure to attend two consecutive meetings of the JISC without proper justification.

21. If a member of the JISC resigns or is otherwise unable to complete the assigned term of office or to perform the functions of that office, the JISC may, bearing in mind the proximity of the next session of the CMP, appoint another member nominated by the same constituency to replace said member for the remainder of that member's term.

22. At least two thirds of the members of the JISC representing a majority of members from Parties included in Annex I and a majority of members from Parties not included in Annex I must be present to constitute a quorum.

C. Procedures

23. Decisions of the JISC shall be taken by consensus, whenever possible. If all efforts to reach consensus have been exhausted and no agreement has been reached, decisions shall as a last resort be adopted by a two-thirds majority vote of the members present and voting at the meeting. Members abstaining from voting shall be considered as not voting.

24. The full text of all decisions of the JISC shall be made publicly available.

25. The working language of the JISC shall be English.

26. The JISC shall conduct its work in such a way as to ensure the transparency and impartiality of its processes and decision-making and to safeguard itself from any conflict of interest.

27. Meetings of the JISC shall be open to attendance, as observers, by all Parties and UNFCCC-admitted observer organizations and stakeholders, except where otherwise decided by the JISC on the grounds of confidentiality.

28. The JISC may delegate functions to the secretariat and to panels, set up by the JISC to support its work, and otherwise draw on technical expertise to perform its functions.

29. Information obtained from activity participants marked as proprietary or confidential shall not be disclosed without the written consent of the provider of the information, except as required by applicable national law of the host Party. Information used to determine whether reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks are additional, describe the baseline methodology and its application, and/or support an environmental impact assessment shall not be considered proprietary or confidential.

30. The secretariat shall service the JISC and its panels.

IV. Host Parties

31. A Party participating in JI shall make publicly available and maintain, in an up-to-date manner, the following:

(a) The contact details of the [designated focal point] [host Party] responsible for approving baselines and registering JI activities hosted by the Party;

(b) Its national standards, procedures and guidelines for all aspects of its implementation of JI and the periods of time in which decisions are to be taken by the designated focal point;

(c) Its national procedures for appealing decisions[, in accordance with national legislation,] by the [designated focal point] [host Party] regarding the registration of JI activities;

(d) An annual summary of its activities in relation to JI.

32. A Party participating in JI shall provide to the secretariat, in English, the information specified in paragraph 31 above within 90 days of the adoption, revision or update thereof.

33. The host Party may, on voluntary basis, determine that a lower amount of ERUs shall be issued than the actual reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks achieved by a JI activity. Any such arrangements should be elaborated in the host Party's national requirements and procedures and shall be indicated prior to the registration of the JI activity, identified as a condition for the activity's registration, made publicly available through the secretariat and taken into account and explained by the accredited independent entity during the verification.

34. Baselines for projects using standardized [or sectoral] baselines shall be reviewed periodically and updated according to transparent criteria established ex ante. [Once national standardized or sectoral baselines have been approved, their use shall be mandatory for new projects. However, where existing project-specific (bottom-up) baselines are more ambitious than standardized baselines, bottom-up approaches shall continue to be applied.]

35. A Party participating in JI shall make publicly available, through the secretariat, information on all baselines that it has approved and activities that it has registered or that it has under consideration for approval or registration.

36. [A Party, identified by the JISC in accordance with paragraph 13(e) above as not being in conformity with the mandatory requirements and procedures of JI, shall immediately take action to rectify the identified non-conformities and shall provide written evidence to the JISC to demonstrate that the identified non-conformities have been rectified. The JISC shall make such evidence publicly available (subject to confidentiality). The JISC elaborate the procedure to rectify non-conformities that have resulted in the

transfer of excess of ERUs, assessing options to assign liability for excess issuance for consideration by the CMP.]

37. A Party may authorize legal entities to [participate in] [manage] JI activities. The Party shall remain responsible for the fulfillment of its obligations under the Kyoto Protocol and shall ensure that such participation is consistent with these modalities and procedures and the mandatory standards and procedures referred to in paragraph 8 above. Legal entities may only transfer or acquire ERUs if the authorizing Party is eligible to do so at that time.

V. Eligibility to transfer and acquire [SECTION TO BE UPDATED]

38. [A Party [included in Annex I] with a commitment inscribed in Annex B in the Doha Amendment, as contained in the annex to decision 1/CMP.8, is eligible to transfer and/or acquire ERUs issued in accordance with the relevant provisions, if it is in compliance with the following eligibility requirements:

(a) It is a Party to the Kyoto Protocol;

(b) [Its assigned amount pursuant to Article 3, paragraphs 7 and 8, has been calculated and recorded in accordance with decision 13/CMP.1];

(c) It has in place a national system for the estimation of anthropogenic emissions by sources and anthropogenic removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, in accordance with Article 5, paragraph 1, and the requirements in the guidelines decided thereunder;

(d) It has in place a national registry in accordance with Article 7, paragraph 4, and the requirements in the guidelines decided thereunder;

(e) It has submitted annually the most recent required inventory, in accordance with Article 5, paragraph 2, and Article 7, paragraph 1, and the requirements in the guidelines decided thereunder, including the national inventory report and the common reporting format. For the first commitment period, the quality assessment needed for the purpose of determining eligibility to use the mechanisms shall be limited to the parts of the inventory pertaining to emissions of greenhouse gases from sources/sector categories from Annex A to the Kyoto Protocol and the submission of the annual inventory on sinks;

(f) It submits the supplementary information on assigned amount in accordance with Article 7, paragraph 1, and the requirements in the guidelines decided thereunder and makes any additions to, and subtractions from, assigned amount pursuant to Article 3, paragraphs 7 and 8, including for the activities under Article 3, paragraphs 3 and 4, in accordance with Article 7, paragraph 4, and the requirements in the guidelines decided thereunder.]

VI. Accreditation of independent entities [SECTION TO BE UPDATED]

39. The JISC, in elaborating standards and procedures for accrediting independent entities, shall collaborate with the Executive Board of the clean development mechanism, with a view to unifying the institutional framework, including the standards and procedures for the accreditation of the mechanisms, and shall ensure that the accreditation standards cover, inter alia, the following areas:

(a) The ability of the entity to assume obligations under national or international laws;

(b) Legal and financial liabilities;

(c) Management and decision-making structure;

(d) Competence;

(e) Validation and verification processes, taking into account the principles of materiality;

(f) Impartiality and prevention of conflict of interest;

(g) Safeguarding confidentiality;

(h) Appeals and complaint processes.

40. The JISC, in the light of a unified accreditation system, shall identify options for transferring all of its accreditation functions to a common designated accreditation governance structure.

VII. Project cycle

A. Design of a joint implementation activity

41. A JI activity shall demonstrate that its implementation would result in real, measurable and additional reductions of anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks and that these reductions would not have been implemented in the absence of the JI mechanism.

42. JI activity participants shall prepare and submit to an accredited independent entity an activity design document that contains all of the information needed for validating that the activity complies with the applicable requirements established by these modalities and procedures and additional requirements elaborated by the JISC and those of the host Party. This information shall include but not be limited to:

(a) Documentation on environmental impact assessment reports of the JI activities, including transboundary impacts, in accordance with procedures as developed by the host Party, and, if those impacts are considered significant by the JI activity participant or the host Party, have undertaken an environment impact assessment in accordance with procedures that are required by the host Party;

(b) Documentation on how input from local stakeholders was invited and taken into account.

43. JI activity participants shall select a crediting period for the activity that shall not exceed [7] [10] years. [The crediting period] shall not start earlier than the submission of activity documentation to the [accredited independent entity] [secretariat] in accordance with paragraph [44 below [46 below. The crediting period may be renewed for periods of up to [7] [10] years, provided that, for each renewal, an accredited independent entity validates that the activity baseline is still accurate or has been updated taking new data into account, where applicable[, and that the activity is still additional, in accordance with the technical requirements referred to in paragraph 9 above]. [Once the current commitment period pursuant to Article 3 of the Kyoto Protocol has expired, the crediting period shall end, except if JI is continued on the basis of a decision to be adopted by the CMP.]

B. Validation of the joint implementation activity

44. The accredited independent entity shall make the activity design document publicly available through the secretariat, subject to the confidentiality provisions set out in paragraph 29 above, and shall invite comments from Parties and stakeholders on the activity design document and any supporting information for 30 days from the date that the activity design document is made publicly available.

45. An accredited independent entity shall validate that an activity meets the relevant requirements of Article 6 of the Kyoto Protocol, these modalities and procedures and any additional guidance provided by the JISC and, as applicable, by the host Party.

46. The accredited independent entity shall make its validation report publicly available through the secretariat, together with an explanation and justification of its findings, including a summary of the stakeholder comments received and a report on how due account was taken of those comments.

C. Registration and recording of the joint implementation activity

47. The host Party may register the activity if it meets all of the requirements set out in these modalities and procedures and any additional or elaborated standards developed by the JISC and, as applicable, by the host Party. The host Party shall decide whether to register the activity and shall make its decision publicly available through the secretariat. Registration is considered the formal approval of the respective joint implementation activity by the host Party. If the host Party decides not to register a proposed JI activity, it shall make the reasons for its decision publicly available through the secretariat.

48. Upon receipt of the notice of registration from the host Party, the secretariat shall record the registered JI activity with a unique and publicly available identifier, unless the JISC requests a review according to its rules and procedures within 30 days.

D. Monitoring of emission reductions and removals

49. JI activity participants shall monitor reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks that have already occurred in accordance with the monitoring plan of the registered activity and shall prepare a monitoring report.

50. JI activity participants shall submit the monitoring report to an accredited independent entity, which shall make the monitoring report publicly available through the secretariat.

51. Revisions, if any, to the monitoring plan shall not reduce the accuracy and/or completeness of the monitoring, shall be justified by the JI activity participants and shall be verified by an accredited independent entity in accordance with paragraph 52 below.

E. Verification of emission reductions and removals

52. The accredited independent entity shall, upon receipt of the monitoring report, verify that the reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks reported by the activity participants have been conducted in accordance with these modalities and procedures, as further elaborated by the JISC and, as applicable, by the host Party.

53. The accredited independent entity shall make its verification publicly available through the secretariat, together with an explanation and justification of its verification opinion.

54. The host Party shall accept the verification if it meets all of the requirements set out in these modalities and procedures and any additional or elaborated standards developed by the JISC and, as applicable, by the host Party. The host Party shall decide whether to accept the verification and shall submit a notification of acceptance to the JISC through the secretariat.

F. Issuance of emission reduction units

55. The JISC shall, 30 days after receipt of the notice of acceptance from the host Party, be deemed to have endorsed the issuance of ERUs on the basis of the verification of reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks and inform the host Party accordingly, unless the JISC requests a review according to its rules and procedures.

56. Subsequent to the endorsement by the JISC, the host Party shall expeditiously issue ERUs equivalent to the verified reductions in anthropogenic emissions by sources or enhancements of anthropogenic removals by sinks achieved by the activity, taking into account paragraph 33 above.

57. [Upon such issuance, the national registry administrator shall promptly forward two per cent of the issued ERUs, being the share of proceeds to assist developing country Parties that are particularly vulnerable to the adverse effects of climate change in meeting the costs of adaptation) to an account designated by the Board of the Adaptation Fund.]

G. Appeals of decisions taken by the JISC

58. Any decision taken by the JISC in accordance with these modalities and procedures may be subject to appeal by affected stakeholders, in accordance with provisions to be determined by the CMP.

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Bonn, 4–15 June 2014

Agenda item 11(b)
Development and transfer of technologies and implementation of the Technology Mechanism
Poznan strategic programme on technology transfer

Poznan strategic programme on technology transfer

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) noted the report of the Global Environment Facility (GEF) on the progress made in carrying out the Poznan strategic programme on technology transfer,[1] including the findings arising from the consultations between the GEF and the Advisory Board of the Climate Technology Centre and Network (CTCN) on the support that the GEF will provide for the work of the CTCN.

2. The SBI invited the GEF to continue to consult with the Advisory Board of the CTCN on the support that the GEF will provide for the implementation of the five-year programme of work of the CTCN and to report on its findings for consideration at SBI 41 (December 2014).

3. The SBI also invited the CTCN to include information on the support that it has received from the GEF and other relevant organizations in the 2014 joint annual report of the Technology Executive Committee (TEC) and the CTCN for consideration by the Conference of the Parties (COP) at its twentieth session (December 2014).

4. The SBI recalled its conclusions at SBI 39, namely the need for the GEF to align the further implementation of the element of the Poznan strategic programme on support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, taking into account decision 2/CP.17, paragraph 140,[2] and to consult with the Advisory Board of the CTCN on this matter and report on its findings for consideration at SBI 41.

5. The SBI invited the TEC to evaluate the Poznan strategic programme with the aim of enhancing the effectiveness of the Technology Mechanism and to report back to COP 20 through SBI 41.

[1] FCCC/SBI/2014/INF.3

[2] FCCC/SBI/2013/20, paragraph 138.

Please recycle

6. The SBI welcomed the approval by the GEF Council of a new project of the United Nations Environment Programme which provides technical and financial support to 27 Parties not included in Annex I to the Convention (non-Annex I Parties) for conducting or updating their technology needs assessments (TNAs) and technology action plans, as well as the approval of six national projects incorporating TNA support activities.

7. The SBI noted the need for Parties to enhance and follow up the TNA process by further promoting the development and implementation of economically, environmentally and socially sound project proposals.

8. The SBI invited the GEF to further support the implementation of the results of TNAs, including technology action plans and project ideas prepared by non-Annex I Parties.

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Subsidiary Body for Implementation
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Agenda item 12(a)
Capacity-building
Capacity-building under the Convention

Capacity-building under the Convention

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) welcomed the success of the 2nd and 3rd meetings of the Durban Forum for in-depth discussion on capacity-building, held during SBI 38 and 40.

2. The SBI expressed its appreciation to Parties and representatives of intergovernmental and non-governmental organizations and the private sector for their active participation in the 2nd and 3rd meetings of the Durban Forum and for the sharing of experiences and exchanging of ideas, best practices and lessons learned regarding the implementation of capacity-building activities.

3. The SBI welcomed the launch of the UNFCCC Capacity-building Portal.[1]

4. The SBI continued, but did not conclude, its consideration of capacity-building for developing countries under the Convention. It agreed to continue its consideration of the matter at SBI 41 (December 2014) on the basis of the draft decision text contained in the annex with a view to recommending a draft decision for consideration and adoption by the Conference of the Parties at its twentieth session (December 2014).

[1] <http://unfccc.int/capacity_building/core/activities.html>.

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Annex

[English only]

[Capacity-building under the Convention for developing countries

The Conference of the Parties,

Recalling decisions 2/CP.7, 1/CP.16, 2/CP.17, 13/CP.17 and 1/CP.18,

Recognizing the success of the 2nd and 3rd meetings of the Durban Forum for in-depth discussion on capacity-building, held during the thirty-eighth and fortieth sessions of the Subsidiary Body for Implementation,

Expressing its appreciation to Parties and representatives of intergovernmental and non-governmental organizations and the private sector for their active participation in the meetings of the Durban Forum for the sharing of experiences and exchanging ideas, best practices and lessons learned regarding the implementation of capacity-building activities,

[Acknowledging the need for national expertise, funding and strategic capacity enhancement to guide national responses to climate change,]

Expressing the need to further [strengthen] [enhance] the implementation of capacity-building, including through [strengthening] relevant institutions, networks and support to meet the capacity requirements of developing countries [as appropriate],

Recognizing the cross-cutting nature of capacity-building,

Emphasizing the need for a coordinated approach,

Acknowledging that capacity-building is important and is a challenge for all countries, and that the sharing of experiences and best practices is essential to continued progress worldwide in addressing climate change,

Having considered the information contained in the documents[1] prepared by the secretariat to facilitate deliberations at the Durban Forum and the summary report on the 2nd meeting of the Durban Forum,[2]

1. *Reaffirms* that the Durban Forum is [a valuable platform] [an important tool used] [an appropriate arrangement] [an important tool and [a valuable] [a relevant] [an appropriate] arrangement] to further enhance the monitoring and review of the effectiveness of capacity-building by sharing experiences and exchange ideas, best practices and lessons learned regarding the implementation of capacity-building activities with the participation of Parties, representatives of the relevant bodies established under the Convention and relevant experts and practitioners;

2. *Encourages* representatives of the bodies established under the Convention, operating entities of the financial mechanism of the Convention, intergovernmental and non-governmental organizations, and relevant experts and practitioners, to integrate in their work programmes and activities lessons learned at, and main outcomes of, the Durban Forum;

3. *Decides* that the 4th meeting of the Durban Forum, to be held during the forty-second session of the Subsidiary Body for Implementation (June 2015), [shall][could][should] consider, inter alia, capacity-building needs and best practices emerging in the work of bodies established under the Convention, the effectiveness of capacity-building

[1] FCCC/SBI/2014/2 and Add.1, FCCC/SBI/2014/7 and FCCC/SBI/2014/MISC.2 and Add.1 and 2.
[2] FCCC/SBI/2013/12.

interventions concerning [[adaptation, disaster risk management] gender, reporting obligations and greenhouse gas inventories, REDD-plus, agriculture, access to finance and dissemination of information and knowledge] [decision 2/CP.7], ways to strengthen the implementation of capacity-building in developing countries, mobilize additional resources and strengthen institutional capacity;

4. *Also decides* to build on the work of the Durban Forum and establish its work [plan] [schedule] [on capacity-building] to further enhance the monitoring and review of the effectiveness of capacity-building;

5. *Further decides* that such a work [plan] [schedule] should be finalized and adopted by the Conference of the Parties at its twenty-first session;

6. *Invites* Parties, intergovernmental and non-governmental organizations and the private sector to submit to the secretariat, by XX February 2015, the following:

(a) Views on specific thematic issues relating to capacity-building under the Convention in developing countries to be considered at the 4th meeting of the Durban Forum and on the organization of that meeting;

(b) Views on possible [elements] [topics] of a work [plan] [schedule] of the Durban Forum and potential relevant practitioners on those topics;

7. *Requests* the secretariat:

(a) To conduct an annual analysis of the information compiled from the Durban Forum [and from submissions from Parties] with a view to enhancing capacity-building in accordance with provisions contained in decision 13/CP.17;

(b) To develop a [workplan] [work schedule] [of the Durban Forum] [on capacity-building] drawing on the analysis of relevant information emerging from meetings of the Durban Forum and from the submissions referred to in paragraph 6(b) above;

8. *Encourages* Parties to utilize lessons learned and best practices shared during the 1st, 2nd and 3rd meetings of the Durban Forum and derived from the analysis conducted by the secretariat as referred to in paragraph 7(a) above to further enhance the effectiveness of capacity-building [actions] [activities] at the national level;

9. *Requests* the Subsidiary Body for Implementation:

(a) To take into account the views expressed in the submissions referred to in paragraph 6(a) above in organizing the 4th meeting of the Durban Forum;

(b) To consider ways to promote in-depth consultations during meetings of the Durban Forum by exploring more interactive organizational formats;

(c) To consider the submissions referred to in paragraph 6(b) above with a view to preparing recommendations on the matter for consideration by the Conference of the Parties at its twenty-first session;

10. *Decides* to establish a Capacity-building Committee under the Convention to facilitate effective capacity-building implementation at the international, regional and national levels in accordance with the framework for capacity-building in developing countries contained in the annex to decision 2/CP.7, inter alia, by:

(a) Collating capacity-building related information presented during meetings of the Durban Forum and contained in national communications;

(b) Commissioning a report analysing the information referred to in paragraph 10(a) above and any other relevant national information;

(c) Carrying out, on the basis of the information referred to above, the following actions:

(i) Recommend nationally appropriate actions in line with identified capacity-building needs;

(ii) Coordinate the provision of capacity-building support across and between the national, regional and international levels;

(iii) Conduct continuous monitoring and reviewing of capacity-building interventions and support;

(iv) Identify measures which would address capacity-building needs across several countries in order to increase efficiencies;

(v) Compile recommendations for enhanced interactions with other existing bodies established under the Convention;

(vi) Conduct a comprehensive review of the framework for capacity-building in developing countries;

(vii) Further explore potential ways to enhance the implementation of capacity-building;

11. *Decides* that the Capacity-building Committee shall consist of two representatives from each of the existing bodies established under the Convention and regional groups, ensuring that there is a balanced representation between developed and developing country Parties;

12. *Further decides* that the Capacity-building Committee will report to the Conference of the Parties on its work, including functions and further actions required;

13. *Invites* Parties to submit to the secretariat, by XX 2015, their views on the terms of reference and modalities of operation of the Capacity-building Committee;

14. *Requests* the Subsidiary Body for Implementation to consider the submissions referred to in paragraph 13 above at its XXX session with a view to making recommendations on the matter to the Conference of the Parties at its XXX session;

15. *Decides* that the Capacity-building Committee should start its work on XXX 2015;

16. *Invites* Parties to make sufficient resources available for the operationalization of the Capacity-building Committee;

17. *Requests* operating entities of the financial mechanism of the Convention to provide support for capacity-building needs as identified by countries;

18. *Recognizes* that there has been significant global progress in building capacity, including through UNFCCC bodies, processes and institutional arrangements on technology, adaptation, finance and mitigation, as outlined in the report contained in document FCCC/SBI/2014/7;

19. *Affirms* that the existing institutions established under the Convention, including the Durban Forum, constitute adequate, appropriate and effective institutional arrangements to monitor and evaluate capacity-building for climate change action;

20. *Expresses* its appreciation to those countries who have provided and will continue to provide capacity-building support, including through South–South and triangular cooperation as well as during the fast-start finance period;

21. *Acknowledges* the utility of monitoring and evaluation of capacity-building activities at the project level only if the results of those monitoring and evaluation efforts are utilized and measures to retain capacity built are made by the partner country;

22. *Recognizes* that increased support for capacity-building depends in part on domestic enabling environments;

23. *Urges* developing countries to promote transparency and good governance and improve regulatory and economic policies that reduce investment risks;

24. *Stresses* that efforts under the Convention related to transparency and to adaptation planning, such as national communications and the national adaptation plans, are important tools that help to build institutional capacity in the long term.]

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Agenda item 12(b)
Capacity-building
Capacity-building under the Kyoto Protocol

Capacity-building under the Kyoto Protocol

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) welcomed the success of the 2nd and 3rd meetings of the Durban Forum for in-depth discussion on capacity-building, held during SBI 38 and 40.

2. The SBI expressed its appreciation to Parties and representatives of intergovernmental and non-governmental organizations and the private sector for their active participation in the 2nd and 3rd meetings of the Durban Forum and for the sharing of experiences and exchanging of ideas, best practices and lessons learned regarding the implementation of capacity-building activities related to the implementation of the Kyoto Protocol.

3. The SBI welcomed the launch of the UNFCCC Capacity-building Portal.[1]

4. The SBI continued, but did not conclude, its consideration of capacity-building for developing countries under the Kyoto Protocol. It agreed to continue its consideration of the matter at SBI 41 (December 2014) on the basis of the draft decision text contained in the annex to document FCCC/SBI/2013/L.18/Rev.1, with a view to recommending a draft decision for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its tenth session (December 2014).

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[1] <http://unfccc.int/capacitybuilding/core/activities.html>.

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Agenda item 3(b)
Reporting and review of Parties included in Annex I to the Convention
Revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications"

Revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications"

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) initiated its consideration of the revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications" (hereinafter referred to as the reporting guidelines on national communications).

2. The SBI took note of the views submitted by Parties included in Annex I to the Convention (Annex I Parties)[1] in response to the invitation of the Conference of the Parties (COP) at its seventeenth session[2] on their experience with preparing their first biennial reports.

3. It recognized that, in the submissions made so far, Parties identified inconsistencies between the reporting guidelines on national communications and the "UNFCCC biennial reporting guidelines for developed country Parties"[3] and indicated where the reporting guidelines on national communications need to be updated.

4. Recalling the invitation of the COP referred to in paragraph 2 above, the SBI invited Annex I Parties that have not yet done so to submit their views on their experience with preparing their first biennial reports to the secretariat by 20 August 2014, recognizing that more information will be needed to complete the revision of the reporting guidelines on national communications.

[1] Available at <www.unfccc.int/5900>.
[2] Decision 2/CP.17, paragraph 17.
[3] Decision 2/CP.17, annex I.

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5. The SBI acknowledged that, owing to the scope of the call for the submissions referred to in paragraphs 2 and 3 above, the submissions do not necessarily cover all of the types of information reported in national communications.

6. To further inform Parties in the preparation for the revision of the reporting guidelines on national communications, the SBI invited Parties to submit their views on the reporting guidelines on national communications to the secretariat by 20 August 2014.

7. It recalled the request made by the COP[4] for the SBI to work on the revision of the reporting guidelines on national communications with a view to the revised guidelines being adopted at COP 20 (December 2014).

8. The SBI noted that, should Parties require additional time beyond SBI 41 (December 2014) to complete the work referred to in paragraph 7 above, events such as workshops for the continuation of that work will be considered at SBI 41.

9. The SBI requested the secretariat to include a synthesis of the views of Parties referred to in paragraphs 4 and 6 above in the technical paper referred to in paragraph 20 of decision 2/CP.17. The technical paper should facilitate consideration at SBI 41 of the revision of the reporting guidelines on national communications and should also highlight the issues referred to in paragraph 3 above.

10. The SBI took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 9 above. It requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

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[4] Decision 2/CP.17, paragraph 18.

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Agenda item 18(a)
Administrative, financial and institutional matters
Financial matters

Financial matters

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) took note of the information relating to the status of contributions as at 15 May 2014. It expressed its appreciation to the Parties that had paid their indicative contributions to the core budget and their fees for the international transaction log on time. The SBI also expressed concern over outstanding contributions and urged those Parties that have not paid their contributions yet to do so as soon as possible.

2. The SBI also expressed its appreciation to those Parties that had made voluntary contributions to the Trust Fund for Participation in the UNFCCC Process and the Trust Fund for Supplementary Activities. The SBI noted with concern the insufficient level of funds to cover the costs for participation of representatives of eligible Parties in the sessions of the Ad Hoc Working Group on the Durban Platform for Enhanced Action scheduled for October 2014 and in the United Nations Climate Change Conference to be held in Lima, Peru, in December 2014. The SBI urges Parties to further contribute to the Trust Fund for Participation in the UNFCCC Process to ensure the widest possible participation in the negotiations in 2014 and to the Trust Fund for Supplementary Activities.

3. The SBI considered the proposed revisions to the financial procedures required for the adoption of the International Public Sector Accounting Standards and recommended a draft decision on this matter for consideration and adoption by the Conference of the Parties at its twentieth session (for the text of the draft decision, see document FCCC/SBI/2014/L.16/Add.1).

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Agenda item 18(a)
Administrative, financial and institutional matters
Financial matters

Financial matters

Draft conclusions proposed by the Chair

Addendum

Recommendation of the Subsidiary Body for Implementation

The Subsidiary Body for Implementation, at its fortieth session, recommended the following draft decision for consideration and adoption by the Conference of the Parties at its twentieth session:

Draft Decision -/CP.20

Financial matters

The Conference of the Parties,

Noting that the United Nations General Assembly, by its resolution 60/283, approved the adoption of the International Public Sector Accounting Standards for the presentation of financial statements within the United Nations system,

Also noting that the UNFCCC secretariat, in keeping with the timeline established by the United Nations Secretariat, is scheduled to prepare its first financial statements in accordance with the International Public Sector Accounting Standards in April 2015,

Having considered the proposed revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat required for the adoption of the International Public Sector Accounting Standards,[1]

[1] FCCC/SBI/2014/INF.9

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Approves the proposed revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat required for the adoption of the International Public Sector Accounting Standards contained in the annex to document FCCC/SBI/2014/INF.9.

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Agenda item 10
Second review of the Adaptation Fund

Second review of the Adaptation Fund

Draft conclusions proposed by the co-facilitators

1. The Subsidiary Body for Implementation (SBI) considered the second review of the Adaptation Fund in accordance with the terms of reference for the second review of the Adaptation Fund[1] (hereinafter referred to as the terms of reference).

2. The SBI welcomed the financial contributions and pledges that were made to the Adaptation Fund by Parties pursuant to paragraph 12 of decision 1/CMP.9, adopted by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its ninth session. These contributions and pledges enabled the Adaptation Fund to achieve its fundraising goal of USD 100 million by the end of 2013. The SBI would like to express the hope that more funds could be generated to meet the current needs of the Adaptation Fund.

3. The SBI took note of the oral report of the Adaptation Fund Board secretariat on the Board's new fundraising target of USD 80 million per calendar year for 2014 and 2015, and requested the Board to include an update on the implementation of its fundraising strategy in its report to CMP 10 (December 2014).

4. The SBI continued to note with concern the lack of sustainable, predictable and adequate financial resources for the Adaptation Fund to support projects and programmes in developing countries.

5. The SBI highlighted that the implementation of the Adaptation Fund has led to the enhancement of direct access and country ownership.

6. The SBI recalled that the Adaptation Fund is a fund under the Kyoto Protocol, which is a legal instrument of the Convention and guided by Article 3 of the Convention, and noted the issues raised by Parties, on the basis of the terms of reference, related to:

(a) The provision of sustainable, predictable and adequate financial resources, including the potential diversification of revenue streams, to fund concrete adaptation

[1] Decision 2/CMP.9, annex.

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projects and programmes that are country driven and based on the needs, views and priorities of eligible Parties;

(b) Lessons learned from the application of the access modalities of the Adaptation Fund;

(c) The institutional linkages and relations, as appropriate, between the Adaptation Fund and other institutions, in particular institutions under the Convention;

(d) The institutional arrangements for the Adaptation Fund, in particular the arrangements with the interim secretariat and the interim trustee.

7. The SBI invited Parties and observer organizations, as well as other interested international organizations, stakeholders and non-governmental organizations involved in the activities of the Adaptation Fund and multinational, regional and national implementing entities accredited by the Adaptation Fund Board, to submit to the secretariat, by 22 September 2014, further views on the second review of the Adaptation Fund, in accordance with the terms of reference.

8. The SBI requested the secretariat to make the submissions referred to in paragraph 7 above available on the UNFCCC website and to compile them into a miscellaneous document, for consideration at SBI 41 (December 2014).

9. The SBI also requested the secretariat, when preparing the technical paper requested at CMP 9,[2] to take into consideration the views expressed by Parties at this session and the written submissions provided before and at this session.[3]

10. The SBI agreed to complete its consideration of the second review of the Adaptation Fund at SBI 41 on the basis of all the information provided in accordance with the terms of reference and the submissions referred to in paragraph 7 above, with a view to recommending a draft decision on this matter for consideration and adoption at CMP 10.

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[2] Decision 2/CMP.9, paragraph 6.

[3] The submissions are available at <http://www4.unfccc.int/submissions/SitePages/sessions.aspx>.

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Agenda item 5
Work programme to further the understanding of the diversity of nationally appropriate mitigation actions

The extent of the matching of mitigation actions with financial, technical and capacity-building support under the registry of nationally appropriate mitigation actions

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) continued to advance the work programme to further the understanding of the diversity of nationally appropriate mitigation actions (NAMAs) in accordance with decision 1/CP.18, paragraph 19 (hereinafter referred to as the work programme).

2. The SBI welcomed the information provided during the relevant in-session workshop and expressed its appreciation to the presenters and panellists, who shared information and experiences relating to the issues addressed under the work programme.

3. The SBI took note of the information contained in document FCCC/SBI/2014/INF.10 on the extent of the matching of mitigation actions with financial, technical and capacity-building support under the NAMA registry.

4. The SBI recalled decision 2/CP.17, paragraph 52, and requested the secretariat to arrange annual technical briefings in conjunction with the meetings of the subsidiary bodies and, in this regard, prepare written information, including an update to document FCCC/SBI/2014/INF.10, to allow for an exchange of views on updated information on NAMAs and support for NAMAs under the registry, including the extent of matching between them.

5. Taking note of the action taken so far under the work programme, the SBI recalled its mandate to report on the outcome of the work programme to the Conference of the Parties at its twentieth session (December 2014). With a view to concluding the work programme at SBI 41 (December 2014), in accordance with all of the elements contained in decision 1/CP.18, paragraph 19(a–c), the SBI agreed to prepare conclusions at that session on the process of furthering the understanding of the diversity of NAMAs, which will describe:

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(a) The activities conducted under the work programme, relevant submissions from Parties, the reports prepared by the secretariat on those activities and on the operation of the NAMA registry, and the presentations made and discussions held at the relevant in-session workshops;

(b) Information on issues addressed and experiences shared during the work programme in relation to the preparation and implementation of, and support to, a diverse range of NAMAs.

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Agenda item 8
National adaptation plans

National adaptation plans

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) welcomed the information on experiences with the application of the initial guidelines for the formulation of the national adaptation plans (NAPs) as well as information relevant to the formulation and implementation of NAPs provided by Parties and relevant organizations through their submissions.[1]

2. The SBI took note of work undertaken by relevant organizations and institutions that is related to the NAP process, based on the submissions mentioned in paragraph 1 above, and invited such organizations and institutions to continue this work.

3. The SBI noted with appreciation the support provided by multilateral, bilateral and other organizations in support of the NAP process in least developed country (LDC) Parties and other developing country Parties that are not LDCs.

4. The SBI also noted with appreciation the contributions made by developed country Parties to the Least Developed Countries Fund (LDCF), and invited these Parties to further contribute to the LDCF to enable activities for the preparation of the NAP process by the LDC Parties, while maintaining progress in the implementation of the national adaptation programmes of action.

5. The SBI further took note of the activities carried out by the national adaptation plan global support programme for the least developed countries,[2] and invited developed country Parties, United Nations organizations, specialized agencies, and other relevant organizations, as well as bilateral and multilateral agencies, to enhance support to the

[1] FCCC/SBI/2013/9, FCCC/SBI/2014/MISC.1 and FCCC/SBI/2013/MISC.2 and Add.1. Further relevant submissions are available at <http://unfccc.int/5900> under SBI 40 and the heading "National adaptation plans", <http://unfccc.int/8016> under the heading "Guidelines for the formulation of national adaptation plans" and <http://unfccc.int/7481> under the heading "National adaptation plans".

[2] More information on this programme can be found at <http://www.undp-alm.org/projects/naps-ldcs>.

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programme, and to other relevant programmes, to address the needs of all LDC Parties in initiating the NAP process.

6. The SBI welcomed the approval by the Global Environment Facility of the global project titled "Assisting non-LDC developing countries with country-driven processes to advance national adaptation plans".[1]

7. The SBI noted with appreciation the contributions made by developed country Parties to the Special Climate Change Fund and invited Parties, United Nations organizations, specialized agencies and other relevant organizations to continue to enhance support programmes for the NAP process, within their mandates, as appropriate, to facilitate the provision of financial and technical support to developing country Parties that are not LDCs.

8. The SBI expressed its appreciation to the Least Developed Countries Expert Group (LEG) for its work on technical guidance and support to the NAP process for LDCs, and to the Adaptation Committee for its work on considering the modalities for supporting developing country Parties that are not LDCs.

9. The SBI invited the Adaptation Committee to urge its task force on NAPs to expedite its work.

10. The SBI invited the LEG and the Adaptation Committee to explore ways in which developing country Parties that are not LDCs can be accommodated in the NAP Expo,[4] to be organized by the LEG as part of its work programme for 2014–2015.[5]

11. The SBI acknowledged the invitation by the Conference of the Parties (COP), at its nineteenth session, to Parties and relevant organizations to submit, to the secretariat, by 26 March 2014, information on their experiences with the application of the initial guidelines for the formulation of NAPs, as well as any other information relevant to the formulation and implementation of the NAPs.[6] It extended that invitation until 18 August 2014.

12. The SBI noted the invitation by the Subsidiary Body for Scientific and Technological Advice to Parties and partner organizations to the Nairobi work programme on impacts, vulnerability and adaptation to climate change to submit information on good practices in, and lessons learned from, national adaptation planning, and noted that an information document containing these submissions will be made available in December 2014.[7]

13. The SBI took note of the NAP Expo to be held in August 2014 to further promote and mobilize actions and support for the NAP process, and encouraged Parties, relevant organizations and practitioners to attend the event.

14. The SBI invited the Adaptation Committee in collaboration with the LEG to organize a workshop, back to back with a relevant meeting where possible, drawing upon experts and practitioners at different levels to share experiences, good practices, lessons learned, gaps and needs on the process to formulate and implement national adaptation plans to be held prior to SBI 42 (June 2015).

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[1] <http://unfccc.int/resource/docs/2014/smsn/igo/156.pdf>. Additional information can be found in document GEF/LDCF.SCCF.16/04, annex II, available at <http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.LDCF_.SCCF_.16.04%2C%20Progress%20Report%20on%20the%20LDCF%20and%20the%20SCCF%2C%2004-30-14.pdf>.

[2] FCCC/SBI/2014/4, paragraphs 13–16.

[3] FCCC/SBI/2014/4, annex I.

[4] Decision 18/CP.19, paragraph 6.

[5] FCCC/SBSTA/2013/5, paragraph 13.

15. The SBI invited the LEG and the Adaptation Committee to prepare an information paper on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement national adaptation plans based on the NAP Expo and relevant documents, including the submissions referred to in paragraphs 1, 11 and 12 above, for consideration by SBI 41 (December 2014), as well as to serve as an input to the workshop mentioned in paragraph 14 above.

16. The SBI invited the Adaptation Committee, in collaboration with the LEG and with the support of the secretariat, to prepare a report on the workshop mentioned in paragraph 14 above. The SBI will consider this report, the submissions referred to in paragraphs 1, 11 and 12 above, and all other relevant documents, at its forty-second session, as it monitors and evaluates progress made in the NAP process,[9] with a view to making recommendations to the COP, as appropriate.

17. The SBI took note of the estimated budgetary implications of the activities to be undertaken by the secretariat as referred to in paragraphs 14 to 16 above. It requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

18. The SBI decided to continue its consideration of the matter at SBI 41, on the basis of the information paper referred to in paragraph 15 above, of the submissions referred to in paragraphs 1, 11 and 12 above and the notes contained in the annex.

[9] Decision 5/CP.17, paragraph 37.

Annex

[English only]

Co-chairs' notes

- progress made by some developing country Parties on the national adaptation plan process, and encourage all other developing country Parties to embark on their national adaptation plan process as soon as possible;
- Placeholder for outcomes and effectiveness;

I. Guidelines

- revision of the initial guidelines for the formulation of national adaptation plans is not necessary at this time;
- technical guidelines for the national adaptation plan process are flexible, and can be applied to different regions and/or country circumstances;
- least developed country Parties and interested developing country Parties to apply the technical guidelines for the national adaptation plan process when formulating and implementing national adaptation plans;
- Least Developed Countries Expert Group, in collaboration with the Adaptation Committee, to explore options to facilitate the application of the technical guidelines for the national adaptation plan process in the developing country Parties that are not least developed countries, as appropriate;
- Parties to provide information on the experiences with the application of the technical guidelines for the national adaptation plan process through their national communications, as well as through other channels;
- supplementary materials to the technical guidelines for the national adaptation plan process that are being developed by relevant organizations and agencies, and stressed the importance of their alignment with these guidelines;
- Least Developed Countries Expert Group, in collaboration with the Adaptation Committee, to explore ways to ensure that the supplementary materials to the technical guidelines for the national adaptation process are coherent with and complementary to the technical guidelines for the national adaptation plan process;

II. Support for the formulation and implementation of national adaptation plans

- importance of ensuring coherence between the activities under the national adaptation plan process by countries and the provision of support by the operating entities of the financial mechanism;
- developing country Parties to make use of appropriate support channels and mechanisms, including those available through multilateral and bilateral agencies, to support the development and implementation of strategies and programmes for addressing medium- and long-term adaptation needs under the national adaptation plan process;

- United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to expand the National Adaptation Plan Global Support Programme for the least developed countries,[1] within their mandates, as appropriate, to meet the needs of all least developed country Parties in relation to the national adaptation plan process;

- Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to support projects and programmes that pursue progress towards the formulation and implementation of national adaptation plans under relevant focal areas;

- establishment of the national adaptation plan global support programme for developing country Parties that are not least developed countries;[2]

- cooperation between the global support programmes mentioned in paragraph 12 and 14 above, as well as with other similar initiatives by other international, regional and bilateral organizations, to create synergies and maximize the results without duplication of work;

- global support programmes mentioned in paragraphs 12 and 14 above to take into account national and regional circumstances and priorities when providing technical support to countries;

- Least Developed Countries Expert Group and the Adaptation Committee to explore how countries can take into consideration relevant information from the Fifth Assessment Report of the Intergovernmental Panel on Climate Change in their national adaptation plan processes;

- value of scientific and knowledge-sharing efforts under the Nairobi work programme on impacts, vulnerability and adaptation to climate change as a valuable resource for advancing the national adaptation planning;

- Least Developed Countries Expert Group to continue to invite the Adaptation Committee to contribute to its work in support of the national adaptation plan process, as appropriate;

- invitation to developed country Parties, United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to continue to enhance financial and technical support to the national adaptation plan process for least developed country Parties and other interested developing country Parties that are not least developed countries;

III. Reporting, monitoring and evaluation

- invitation to Parties to provide information, through their national communications, on what measures they have undertaken and on support provided or received relevant to the national adaptation plan process;

- encouragement to least developed country Parties, to the extent possible, to provide information on their national adaptation plan process through their national communications, as well as other channels;

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[1] Implemented by the United Nations Development Programme and the United Nations Environment Programme in partnership with other organizations and agencies. More information is available at <http://www.undp-alm.org/projects/naps-ldcs>.

[2] <Placeholder for a reference to the report of the GEF to COP 20>

- developing country Parties to communicate outputs of their national adaptation plan process to the secretariat, as a way to facilitate the exchange of experiences, best practices and lessons learned in the formulation and implementation of national adaptation plans;

- developing country Parties, to the extent possible, to provide information on their national adaptation plan process to all stakeholders in the country, including to local communities and the private sector;

- SBI to elaborate modalities for regularly monitoring and assessing progress on the national adaptation plan process, pursuant to decision 5/CP.17, paragraph 37, with a view to making recommendations to the Conference of the Parties at its XX session;

- Global Environment Facility, through the global support programmes for national adaptation plans mentioned in paragraphs 12 and 14 above, to keep the Subsidiary Body for Implementation informed, through the secretariat, on progress, effectiveness and gaps under the national adaptation plan process;

- actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

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Agenda item 14
Article 6 of the Convention

Article 6 of the Convention

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) concluded that the 3rd and 4th Dialogues on Article 6 of the Convention will be convened during SBI 42 (June 2015) and SBI 44 (May 2016), respectively, in Bonn, Germany, and agreed that it will consider the issue of subsequent meetings of the Dialogue as part of the intermediate review of the implementation of the Doha work programme on Article 6 of the Convention at SBI 44.

2. The SBI invited Parties, admitted observer organizations and other stakeholders to submit to the secretariat, by 18 February 2015, their feedback on the organization of the 2nd Dialogue and their views on the agenda for the 3rd Dialogue, which will focus on education, training and international cooperation on these matters.

3. The SBI took note of the report on good practices of stakeholder participation in implementing Article 6 of the Convention prepared by the secretariat[1] and invited Parties and other stakeholders to replicate the examples and approaches contained therein.

4. The SBI agreed to develop terms of reference for the intermediate review of the implementation of the Doha work programme to evaluate its effectiveness, identify any emerging gaps and needs and inform any decisions on improving the work programme's effectiveness, as appropriate, for consideration at SBI 42, with a view to launching the review at SBI 44.

5. The SBI decided to take into account the proposals contained in the annex as input to the intermediate review of the implementation of the Doha work programme in 2016 and invited Parties, admitted observer organizations and other stakeholders to submit further ideas to the secretariat by 18 February 2015.

[1] FCCC/SBI/2014/3.

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Annex

[English only]

Elements as input to the intermediate review of the implementation of the Doha work programme on Article 6 of the Convention

1. Invite Parties that have not yet nominated their national focal point for Article 6 of the Convention to do so as soon as possible.

2. Call on national focal points for Article 6 of the Convention to facilitate further discussion on the six elements of Article 6 (education, training, public awareness, public participation, public access to information and international cooperation).

3. Invite Parties to develop and implement climate change education and community-based adaptation and mitigation projects, promoting the use of gender-sensitive tools and approaches.

4. Request the Global Environment Facility to continue to provide financial resources to Parties not included in Annex I to the Convention, in particular African countries, the least developed countries and small island developing States, in accordance with decisions 11/CP.1, 6/CP.7, 4/CP.9, 7/CP.10, 3/CP.12, 7/CP.13, 3/CP.16 and 11/CP.17, to support the implementation of the Doha work programme on Article 6 of the Convention, and to regularly report to the Conference of the Parties on the activities that it has supported.

5. Request the secretariat to organize regional dialogues on Article 6 of the Convention in order to facilitate the sharing of experiences and lessons learned and the formation of alliances among countries in the region.

6. Request the secretariat to organize an annual high-profile event on Article 6 of the Convention, to be held during the sessions of the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol in order to engage dignitaries and decision makers.

7. Request the secretariat to seek support from the United Nations Alliance on Climate Change Education, Training and Public Awareness to conduct subregional and regional workshops during 20XX to promote training, the exchange and sharing of experiences and best practices and the transfer of knowledge and skills in relation to all elements covered by Article 6.

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Agenda item 17
Arrangements for intergovernmental meetings

Arrangements for intergovernmental meetings

Draft conclusions proposed by the Chair

1. The Subsidiary Body for Implementation (SBI) expressed its gratitude to the Government of Peru for offering to host the twentieth session of the Conference of the Parties (COP) and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) in Lima, Peru, from 1 to 12 December 2014. It took note with appreciation of the preparations and efforts of the Government of Peru and the secretariat to ensure the success of COP 20 and CMP 10.

2. The SBI recommended that arrangements be made to organize the high-level segment of COP 20 and CMP 10 from Tuesday, 9 December, to Friday, 12 December, with statements delivered by ministers, other heads of delegation and representatives of intergovernmental organizations and non-governmental organizations (NGOs). In order to ensure the timely closure of the conference and that the COP and the CMP can adopt decisions and conclusions in the morning of Friday, 12 December, the inauguration of the high-level segment will take place in the morning of Tuesday, 9 December. In the afternoon, following the inauguration, national statements by ministers and other heads of delegation will be heard at a joint meeting of the COP and the CMP. National statements will continue at joint meetings scheduled for Wednesday, 10 December, and Thursday, 11 December. Later that Thursday, a joint meeting of the COP and the CMP will be held where statements by observer organizations will be heard.

3. The SBI concluded that arrangements be made for the delivery of concise national statements by ministers and other heads of delegation, with a recommended time limit of three minutes, and concise statements by representatives of intergovernmental organizations and NGOs, with a recommended time limit of two minutes, in the joint meetings of the COP and the CMP during the high-level segment.

4. The SBI requested the secretariat to take note of the views expressed by Parties on the possible elements of the provisional agendas for COP 20 and CMP 10.

5. The SBI invited the Bureau to finalize the details of the arrangements for COP 20 and CMP 10, including arrangements for the high-level segment, in consultation with the President Designate of COP 20 and CMP 10 and the secretariat. It also stressed the

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importance of the principles of openness, transparency and inclusiveness in finalizing the arrangements for sessions.

6. The SBI noted that, in keeping with the principle of rotation among regional groups, the President of COP 22 and CMP 12 would come from the African States. It recalled the offer of the Government of Senegal to host COP 22 and CMP 12.[1] It further noted that, in keeping with the principle of rotation among regional groups, the President of COP 23 and CMP 13 would come from the Asia-Pacific States.

7. The SBI invited Parties to come forward with offers to host future sessions of the COP and the CMP.

8. The SBI discussed its previous conclusions[2] on the dates for future sessional periods and agreed to recommend to the COP that future sessions of the COP and the CMP, including those for 2019, commence on a Monday with work being completed on the Friday of the second week.

9. The SBI recommended the following dates for future sessions of the COP and CMP:[3]

(a) 2015: Monday, 30 November, to Friday, 11 December (COP 21/CMP 11);[4]

(b) 2016: Monday, 7 November, to Friday 18 November (COP 22/CMP 12);

(c) 2017: Monday, 6 November, to Friday 17 November (COP 23/CMP 13);

(d) 2018: Monday, 5 November, to Friday, 16 November (COP 24/CMP 14);

(e) 2019: Monday, 11 November, to Friday, 22 November (COP 25/CMP 15).

10. The SBI discussed its previous conclusions[5] on the dates for future sessional periods and agreed to recommend to the COP that future sessional dates for the May/June sessions of the subsidiary bodies, including those for 2019, should commence on a Monday and that, in order to enhance efficiency and time management, work should be completed one day earlier so as to finish on the Thursday of the second week.

11. The SBI further recommended that all meetings, at the May/June sessions of the subsidiary bodies, taking place on a Saturday, be completed by midday in order to enhance the efficiency, timeliness and transparency of work.

12. The SBI recommended the following dates for future sessions of the May/June sessions of the subsidiary bodies:[6]

(a) 2015: Monday, 1 June, to Thursday, 11 June (SBSTA/SBI 42);

(b) 2016: Monday, 16 May, to Thursday, 26 May (SBSTA/SBI 44);

(c) 2017: Monday, 8 May, to Thursday, 18 May (SBSTA/SBI 46);

(d) 2018: Monday, 30 April, to Thursday, 10 May (SBSTA/SBI 48);

(e) 2019: Monday, 17 June, to Thursday, 27 June (SBSTA/SBI 50).

13. The SBI welcomed the views expressed by Parties on ways to improve the organization of the intergovernmental process and affirmed the need to consider this matter

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[1] Decision 28/CP.19, paragraph 5.

[2] FCCC/SBI/2008/8, paragraph 136, FCCC/SBI/2009/8, paragraph 115 and FCCC/SBI/2010/10, paragraph 159.

[3] These dates do not prejudge future decisions on the arrangements for intergovernmental meetings.

[4] These dates were agreed in decision 28/CP.19, paragraph 3.

[5] FCCC/SBI/2008/8, paragraph 136, FCCC/SBI/2009/8, paragraph 115 and FCCC/SBI/2010/10, paragraph 159.

[6] These dates do not prejudge future decisions on the arrangements for intergovernmental meetings.

with a sense of urgency. It also stressed the need to take into account, in considering this matter, the principles of openness, transparency and inclusiveness as well as the importance of effectiveness, credibility and legitimacy.

14. In this regard, the SBI requested the secretariat to prepare the following two documents for consideration at SBI 41:

(a) A document outlining various options relating to the frequency and organization of the sessions of the COP, the CMP and their subsidiary bodies. The document should also include scenarios and related implications for various options for the periodicity and venue, and for whether future sessions of the subsidiary bodies should be held in conjunction with the COP and the CMP. The document should further include the scenarios and related implications for various options including, but not limited to, current arrangements for annual COP and CMP sessions; biennial COP and CMP sessions; and annual COP and CMP sessions at venues alternating every year between a host country and the seat of the secretariat and in keeping with the principle of rotation among regional groups. The document should also explore whether every session of the COP and the CMP requires a high-level segment.

The document should also include an analysis of the impacts of the options, including budgetary implications (and funding available for the participation of eligible developing countries) and impact on the work of the COP and the CMP and their subsidiary bodies. The document would be guided by the principles of openness, transparency and inclusiveness;

(b) A document on adjusting the timing of the election of the President, including options for strengthened coordination between the President and incoming Presidencies to ensure smooth transition.

15. The SBI noted that the documents outlined in paragraph 14 above would not prejudge the outcome in the consideration of these issues.

16. The SBI urged current and future presiding officers to ensure the observance of the draft rules of procedure,[7] and to enforce clear and effective time management practices at all sessions in line with previously adopted conclusions of the SBI.[8] It also urged Parties and Presiding Officers to make greater efforts to conclude negotiations and conferences in a timely manner, respecting and complying with the previous SBI conclusions[9] and requested elected officers, in fulfilling their duties, to act accordingly.

17. The SBI reemphasized its previously adopted conclusions that all meetings should end by 6.00 p.m., particularly to give Parties and regional groups sufficient time to prepare for daily meetings, but may, in exceptional circumstances, and on a case-by-case basis, continue for two to three hours.[10]

18. The SBI expressed concern regarding implementing and complying with the adopted conclusions outlined in paragraph 17 above. It also stressed the need to improve working processes, including for the post-2015 period, in line with previously adopted conclusions. The SBI also stressed the importance of observing the relevant procedures and working practices agreed to by all Parties.

19. The SBI emphasized that the adopted conclusions referred to in paragraph 17 above should be respected by all concerned and also highlighted the need to implement, in this context, realistic and practical ways forward for effective time management.

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[7] FCCC/CP/1996/2.
[8] FCCC/SBI/2009/8, paragraph 115, and FCCC/SBI/2010/10, paragraph 165.
[9] As footnote 6 above.
[10] As footnote 6 above.

20. The SBI took note of the update provided by the secretariat on observer participation and the implementation of the SBI conclusions on ways to further enhance the engagement of observer organizations in the intergovernmental process.[11]

21. The SBI reaffirmed the fundamental value of effective participation by observers and the value of contributions from observer organizations to deliberations on substantive issues, while recognizing the recent significant increase in the number of participants from observer organizations.[12] The SBI also recognized the importance of the effective participation of NGOs, particularly from developing countries.

22. The SBI recognized that side events and exhibits are an essential part of the UNFCCC process and an important tool for engaging observers in knowledge-sharing, networking and the exploring of actionable options for meeting the climate challenge. In this context, Parties recognized the need for financial support to the important work in relation to these activities, expressed concern about the cost recovery proposal, and encouraged alternatives to be proposed.

23. The SBI recalled the conclusions adopted at SBI 34 on various ways to engage observer organizations in the intergovernmental process,[13] and requested the secretariat to provide, subject to the availability of resources, a regular report every two years on the implementation of these conclusions.

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[11] FCCC/SBI/2013/4, paragraphs 29–35, and FCCC/SBI/2014/6, paragraphs 29–33.
[12] FCCC/SBI/2011/7, paragraph 171.
[13] FCCC/SBI/2011/7, paragraphs 175–178.